

APPENDIX A

NFCSP Policy Information

OLDER AMERICANS ACT, as amended in November, 2001

(Based on Unofficial Compilation by the Center for Social Gerontology)

TITLE III--GRANTS FOR STATE AND COMMUNITY PROGRAMS ON AGING

PART E--NATIONAL FAMILY CAREGIVER SUPPORT PROGRAM

SECTION 371 SHORT TITLE .

This part may be cited as the “National Family Caregiver Support Act”.

Subpart 1--Caregiver Support Program

SECTION 372. DEFINITIONS.

In this subpart:

(1)CHILD-The term “child” means an individual who is not more than 18 years of age.

(2)FAMILY CAREGIVER-The term “family caregiver” means an adult family member, or another individual, who is an informal provider of in-home and community care to an older individual.

(3)GRANDPARENT OR OLDER INDIVIDUAL WHO IS A RELATIVE CAREGIVER-The term “grandparent or older individual who is a relative caregiver” means a grandparent or step grandparent of a child, or a relative of a child by blood or marriage, who is 60 years of age or older and--

(A)lives with the child;

(B) is the primary caregiver of the child because the biological or adoptive parents are unable or unwilling to serve as the primary caregiver of the child; and

(C) has a legal relationship to the child, as such legal custody or guardianship, or is raising the child informally.

SECTION 373.PROGRAM AUTHORIZED.

(a)IN GENERAL-The Assistant Secretary shall carry out a program for making grants to States with State plans approved under section 307,to pay for the Federal share of the cost of carrying out State programs, to enable area agencies on aging, or entities that such area agencies on aging contract with, to provide multifaceted systems of support services--

(1) for family caregivers; and

(2) for grandparents or older individuals who are relative caregivers.

(b)SUPPORT SERVICES-The services provided, in a State program under subsection

(a), by an area agency on aging, or entity that such agency has contracted with, shall include—

- (1) information to caregivers about available services;
- (2) assistance to caregivers in gaining access to the services;
- (3) individual counseling, organization of support groups, and caregiver training to caregivers to assist the caregivers in making decisions and solving problems relating to their caregiving roles;
- (4) respite care to enable caregivers to be temporarily relieved from their caregiving responsibilities; and
- (5) supplemental services, on a limited basis, to complement the care provided by caregivers.

(c)POPULATION SERVED; PRIORITY.--

(1)POPULATION SERVED-Services under a State program under this subpart shall be provided to family caregivers, and grandparents and older individuals who are relative caregivers, and who—

- (A) are described in paragraph (1) or (2) of subsection (a); and
- (B) with regard to the services specified in paragraphs (4) and (5) of subsection (b), in the case of a caregiver described in paragraph (1), is providing care to an older individual who meets the condition specified in subparagraph (A)(i) or (B) of section 102(26).*

(2)PRIORITY-In providing services under this subpart, the State shall give priority for services to older individuals with greatest social and economic need, (with particular attention to low-income older individuals) and older individuals providing care and support to persons with mental retardation and related developmental disabilities (as defined in section 102 of the Developmental Disabilities Assistance and Bill of Rights Act (42 U.S.C.6001))(referred to in this subpart as “developmental disabilities”).

(d)COORDINATION WITH SERVICE PROVIDERS-In carrying out this subpart, each area agency on aging shall coordinate the activities of the agency, or entity that such agency has contracted with, the activities of other community agencies and voluntary organizations providing the types of services described in subsection (b).

(e)QUALITY STANDARDS AND MECHANISMS AND ACCOUNTABILITY-

(1)QUALITY STANDARDS AND MECHANISMS-The State shall establish standards and mechanisms designed to assure the quality of services provided with assistance made available under this subpart.

(2)DATA AND RECORDS-The State shall collect data and maintain records relating to the State program in a standardized format specified by the Assistant Secretary. The State shall furnish the records to the Assistant Secretary, at such time as the Assistant Secretary may require, in order to enable the Assistant Secretary to monitor State program administration and compliance, and to evaluate and compare the effectiveness of the State programs.

(3)REPORTS-The State shall prepare and submit to the Assistant Secretary reports on the data and records required under paragraph (2), including information on the services funded under this subpart, and standards and mechanisms by which the quality of the services shall be assured.

(f)CAREGIVER ALLOTMENT-

(1)IN GENERAL.—

(A)From the sums appropriated under subsection 303(e) for fiscal years 2001 through 2005,the Assistant Secretary shall allot amounts among the States proportionately based on the population of individuals 70 years of age or older in the States.

(B)In determining the amounts allotted to States from the sums appropriated under section 303 for a fiscal year, the Assistant Secretary shall first determine the amount allotted to each State under subparagraph (A) and then proportionately adjust such amounts, if necessary, to meet the requirements of paragraph (2).

(C)The number of individuals 70 years of age or older in any State and in all States shall be determined by the Assistant Secretary on the basis of the most recent data available form the Bureau of the Census and other reliable demographic data satisfactory to the Assistant Secretary.

(2)MINIMUM ALLOTMENT.—

(A)The amounts allotted under paragraph (1)shall be reduced proportionately to the extent necessary to increase other allotments under such paragraph to achieve the amounts described in subparagraph (B).

(B)(i)Each State shall be allotted 1/2 of 1 percent of the amount appropriated for the fiscal year for which the determination is made.

(ii)Guam and the Virgin Islands of the United States shall each be allotted 1/4 of 1 percent of the amount appropriated for the fiscal year for which the determination is made.

(iii)American Samoa and the Commonwealth of the Northern Mariana Islands shall each be allotted 1/16 of 1 percent of the amount appropriated for the fiscal year for which the determination is made.

(C)For the purposes of subparagraph (B)(i), the term “State” does not include Guam, American Samoa, the Virgin Islands of the United States, and the Commonwealth of the Northern Mariana Islands.

(g)AVAILABILITY OF FUNDS-

(1)USE OF FUNDS FOR ADMINISTRATION OF AREA PLANS-
Amounts made

available to a State to carry out the State program under this subpart may be used, in addition to amounts available in accordance with section 303(c)(1), for costs of administration of area plans.

(2) FEDERAL SHARE-

(A) IN GENERAL-Notwithstanding section 304(d)(1)(D), the Federal share of the cost of carrying out a State program under this subpart shall be 75 percent.

(B)NON-FEDERAL SHARE-The non-Federal share of the cost shall be provided from State and local sources.

(C)LIMITATION-A State may use not more than 10 percent of the total Federal and non-Federal share available to the State to provide support services to grandparents and older individuals who are relative caregivers.

SECTION 374.MAINTENANCE OF EFFORT.

Funds made available under this subpart shall supplement, and not supplant, any Federal, State, or local funds expended by a State or unit of general purpose local government (including an area agency on aging) to provide services described in section 373.

Subpart 2--National Innovation Programs

SECTION 375.INNOVATION GRANT PROGRAM.

(a)IN GENERAL-The Assistant Secretary shall carry out a program for making grants on a competitive basis to foster the development and testing of new approaches to sustaining the efforts of families and other informal caregivers of older individuals, and to serving particular groups of caregivers of older individuals, including minority caregivers and distant caregivers and linking family support programs with the State entity or agency that administers or funds programs for persons with mental retardation or related developmental disabilities and their families.

(b)EVALUATION AND DISSEMINATION OF RESULTS-The Assistant Secretary shall provide for evaluation of the effectiveness of programs and activities funded with grants made under this section, and for dissemination to States of descriptions and evaluations of such programs and activities, to enable States to incorporate successful approaches into their programs carried out under this part.

(c)SUNSET PROVISION-This section shall be effective for 3 fiscal years after the date of enactment of the Older Americans Act Amendments of 2000.

SEC.376.ACTIVITIES OF NATIONAL SIGNIFICANCE.

(a)IN GENERAL-The Assistant Secretary shall, directly or by grant or contract, carry out activities of national significance to promote quality and continuous improvement in the support provided to family and other informal caregivers of older individuals through program evaluation, training, technical assistance, and research.

(b)SUNSET PROVISION-This section shall be effective for 3 fiscal years after the date of enactment of the Older Americans Act Amendments of 2000.

*** Excerpt from OAA, Title I, Section 102:**

(26) The term “frail” means, with respect to an older individual in a State, that the older individual is determined to be functionally impaired because the individual—

- (A)(i)is unable to perform at least two activities of daily living without substantial human assistance, including verbal reminding, physical cueing, or supervision; or (ii)at the option of the State, is unable to perform at least three such activities without such assistance; or
- (B) due to a cognitive or other mental impairment, requires substantial supervision because the individual behaves in a manner that poses a serious health or safety hazard to the individual or to another individual.

TITLE VI-GRANTS TO INDIAN TRIBES

PART C--NATIVE AMERICAN CAREGIVER SUPPORT PROGRAM

SEC. 631. PROGRAM.

(a) **IN GENERAL-** The Assistant Secretary shall carry out a program for making grants to tribal organizations with applications approved under parts A and B, to pay for the Federal share of carrying out tribal programs, to enable the tribal organizations to provide multifaceted systems of the support services described in section 373 for caregivers described in section 373.

(b) **REQUIREMENTS-** In providing services under subsection (a), a tribal organization shall meet the requirements specified for an area agency on aging and for a State in the provisions of subsections (c), (d), and (e) of section 373 and of section 374. For purposes of this subsection, references in such provisions to a State program shall be considered to be references to a tribal program under this part.

SEC. 643. AUTHORIZATION OF APPROPRIATIONS.

There are authorized to be appropriated to carry out this title--

(1) for parts A and B, such sums as may be necessary for fiscal year 2001, and such sums as may be necessary for subsequent fiscal years; and

(2) for part C, \$5,000,000 for fiscal year 2001, and such sums as may be necessary for subsequent fiscal years.

Program Instruction

AoA-PI-01-02
January 8, 2001

TO: State Agencies on Aging Administering Plans Under
Title III of The Older Americans Act of 1965, as Amended

SUBJECT: State Guidance to Implement Title III, Part E -- NFCSP

LEGAL AND RELATED

REFERENCES: Sections 371, 372, 373, and 374 of the Older Americans Act of 1965, as amended (P.L. 106-501), Grants for State and Community Programs on Aging.

This Program Instruction provides guidance to states for use in implementing the provisions of the newly authorized National Family Caregiver Support Program under Title III, Part E of the Older Americans Act, as amended in 2000 (P.L. 106-501). The legislative authority and provisions of the National Family Caregiver Support Program became effective upon the signing of the Older Americans Act Amendments of 2000 by President Clinton on November 13, 2000. This new program provides an opportunity for the aging network to develop a service delivery system to respond to the needs of our Nation's caregivers.

Use of Title III-E Funds for State and Area Plan Administration

Title III-E funds may be used to compute the total amount of funds which are available for administration of the State plan and also may be used to pay for administration of the State plan. Section 308(b) allows the State agency to use five percent of the total Title III allotment or \$500,000 to pay for not more than seventy-five percent of the cost for administration of the State plan. Therefore, Title III-E funds may be used for State administrative costs in the same manner as other Title III funds and are subject to the same limitations.

Title III-E funds may be used to compute the total amount of funds which are available for area plan administration and also may be used to pay for administration of area plans. Section 304(d) of the Act provides that, after the application of Section 308(b), the State may use up to ten percent of the State's remaining total Title III allotment to pay for not more than seventy-five percent of the cost for administration of area plans. Section 303(c) indicates that funds under Title III-B and C may be used for paying part of the cost of area plan administration. Section 373(g) authorizes the State agency to use Title III-E funds for the cost of administration of area plans. Therefore, Title III-E funds may be used for area plan administrative costs in the same manner as Title III-B and C funds and are subject to the same limitations. The cost of administration of area plans can be taken from any or all of these three sources.

Maintenance of Effort

The intent of the Title III-E maintenance of effort provision in Section 374 is that States use the funds made available under Title III-E to supplement existing services. Further, those funds must be spent in addition to, and shall not supplant, any Federal, State, or local funds expended by a State or unit of general purpose local government (including area agencies on aging) to fund services described in Section 373 provided prior to the date of enactment of Part E. In other words, a State or unit of general purpose local government (including area agencies on aging) may not use Federal Part E funds to supplant, replace, or in substitution for, any other Federal, State, or local funding expended pursuant to Federal, State, or local laws that were in effect on or before November 12, 2000, which was one day before the date of enactment of Title III-E.

To implement this requirement, the State must provide, in its State plan, an assurance that it will use funds made available under Title III-E to implement a National Family Caregiver Support Program and will not supplant with Title III-E funds any funds that were expended under any Federal, State, or local program in existence on or before November 12, 2000. For your convenience, an optional form is attached which can be used to fulfill this requirement.

Federal Share Limitation

Section 373(g)(2)(C) permits a State to use up to ten percent of the total Federal and non-Federal share available to the State under Title III-E to provide support services to grandparents and older individuals who are relative caregivers.

The term “grandparent or older individual who is a relative caregiver” means a grandparent or stepgrandparent of a child, or a relative of a child by blood or marriage, who is 60 years of age or older and: (A) lives with the child; (B) is the primary caregiver of the child because the biological or adoptive parents are unable or unwilling to serve as the primary caregiver of the child; and (C) has a legal relationship to the child, as such legal custody or guardianship, or is raising the child informally. The term “child” means an individual who is not more than 18 years of age.

The ten percent limitation applies to the State as a whole. As a result, the state has the flexibility to vary among area agencies on aging the expenditures to provide support services to grandparents and older individuals who are relative caregivers.

SUA Distribution of Title III-E

Section 305(a)(2)(C) requires a State to develop and publish for review and comment a formula for distribution within the State of funds received under Title III. Funds available to States under the newly authorized Title III-E are subject to this provision and must be allocated to area agencies on aging.

There is no specific requirement to amend the Intrastate Funding Formula (IFF) in order to distribute Title III-E funds. States may use their current IFF for the allocation of funds under Part E. However, if a State chooses to amend its IFF, it shall submit the revised formula to the Assistant Secretary for Aging for review and approval.

Title III-E Reporting

Sections 373(e)(2) and (3) require the State to maintain and report information relating to the Title III-E program. In addition, basic grant fiscal reporting requires the inclusion of Title III-E expenditures into the SF-269 Supplemental Report. To this end, an amended SF-269 Supplemental Report and instructions will be published in the *Federal Register* for comment. It will be designed to provide States with the necessary information and specific format requirements for initial reporting of performance under Title III-E. Concurrently, an effort will commence to review amending the State Performance Report as a component of the National Aging Program Information System. This effort will be aimed at producing outcome measures for Title III-E to fulfill the requirements of the Government Performance and Results Act.

Title III-E Match Requirements

Sections 373(g)(2)(A) and (B) require that the Federal share be 75% of the cost of carrying out a State program under this subpart. The non-Federal share (25%) of the cost of carrying out a State program under this Part must be provided from State and local sources and may be met with cash or in-kind expenditures. Expenditures used to satisfy the non-Federal share requirement must be related to the purpose of Title III-E and may not be used to meet maintenance of effort or non-Federal share requirements in other Federal programs, including other sections of Title III.

However, expenditures previously used to “over match” other programs may be used to satisfy the non-Federal share requirement in Title III-E provided that those expenditures no longer are counted toward meeting the non-Federal share requirement of such other programs and those expenditures are related to the purpose of Title III-E.

Expenditures previously used to satisfy maintenance of effort requirements in other Federal programs, e.g., Titles III-B and C, may be used to satisfy the maintenance of effort and/or non-Federal share requirements for Title III-E, provided those expenditures are related to the purpose of Title III-E and are no longer counted toward satisfying the maintenance of effort requirements for those other programs. States are reminded that they must continue to meet the maintenance of effort requirements in those other programs, e.g., section 309(c).

Reallotment of Title III-E Grant Funds

Section 304(b) provides that whenever the Assistant Secretary determines that any amount allotted under Title III-E will not be used by a State, the Assistant Secretary shall make such funds available for use through a reallotment to other States. States will be requested to notify the AoA of the amount, if any, of Title III-E funds the state will not use by the end of the Fiscal Year. These funds will be released for reallotment to other states.

Technical Assistance

The AoA will provide ongoing technical assistance to States to assist in implementing the National Family Caregiver Support Program. Currently, the agency maintains a “Caregiving Resources for the Aging Network” website at <http://www.aoa.gov/carenetwork/> This website is being upgraded and expanded to add additional research on caregiving and evidence-based materials developed by the network. Also, shortly we will initiate a moderated listserv with aging network representatives to discuss caregiver issues of concern to the network. Finally, a national symposium on caregiving is being planned to provide a forum for the exchange of knowledge and information about various caregiver program models and methods of delivering services to address better the diverse needs of caregivers throughout the nation.

EFFECTIVE DATE: Immediately, State Assurance Due February 15, 2001

ATTACHMENTS: Certification of Maintenance of Effort

INQUIRIES: Address inquiries to Regional Administrators on Aging, DHHS Regional Offices.

Jeanette C. Takamura
Assistant Secretary for Aging

Certification of Maintenance of Effort

Title III, Part E

National Family Caregiver Support Program

I, the undersigned, affirm, certify and give the assurance that funds made available under Title III, Part E shall supplement, and not supplant, any Federal, State, or local funds expended by the State or unit of general purpose local government (including area agencies on aging) to provide services described in section 373 of the Older Americans Act, as amended in 2000 (P.L. 106-501).

Signature of Authorized State Official

Typed Name of Authorized State Official

Title of Authorized State Official

Date

Frequently Asked Questions about the National Family Caregiver Support Program

1. Are most of the National Family Caregiver Support Program funds earmarked for respite services?
2. Who is eligible to apply for the competitive innovative grants?
3. If a state already funds a caregiver support program, can funds from such a program be used to match the new federal program? If so, how does this affect the "maintenance of effort" requirements?
4. Are direct payments to family caregivers allowed with the new National Family Caregiver Support Program?
5. Do the grandchildren who are cared for by grandparents need to have a disability or chronic illness (including those with mental retardation and developmental disabilities) in order to receive services?
6. Does the child with MR/DD have to be under the chronological age of 19?
7. Are States required to reserve 10% of the funding for services to grandparents?
8. Can States reserve funds to conduct a caregiver demonstration in one geographic area of the state?
9. Can the needs of other caregivers be addressed through the National Family Caregiver Support Program?

1. Are most of the National Family Caregiver Support Program funds earmarked for respite services?

Funds under the National Family Caregiver Support Program (NFCSP) are not earmarked. Funds may be used to provide the five categories of services authorized: 1) information about services; 2) assistance with access to services; 3) individual counseling, organization of support groups, and caregiver training; 4) respite care; and 5) supplemental services, on a limited basis. States and area agencies have the flexibility to determine the funding allocated to these services. The category of supplemental services is designed to be on a limited basis. As a result, no more than twenty percent of the federal funding should be dedicated to this category.

Five percent of the total program allocation is reserved at the national level for competitive innovation grants, and activities of national significance such as program evaluation, training, technical assistance, and research.

2. Who is eligible to apply for the competitive innovative grants?

As with the discretionary authorization in Title IV, AoA will provide guidance regarding who is eligible to apply for the competitive innovative grants. Since the purpose of these grants is to assist in the development of multifaceted systems of caregiver support, states are likely to be one of the preferred grantees with incentives to include area agencies and others as partners.

3. If a state already funds a caregiver support program, can funds from such a program be used to match the new federal program? If so, how does this affect the "maintenance of effort" requirements?

A state may use other funds currently used for related programs to match the federal NFCSP so long as such monies are not from other federal sources, e.g., Medicaid, and are not used to match other programs. The maintenance of effort requirements are met if the overall amount of state and local funding remains at or above what was previously allocated to existing caregiver programs.

4. Are direct payments to family caregivers allowed with the new National Family Caregiver Support Program?

Direct payments to family caregivers is neither specifically included in, nor precluded by, the statute. As such, payments may be possible for certain services if so defined by the state.

5. Do the grandchildren who are cared for by grandparents need to have a disability or chronic illness (including those with mental retardation and developmental disabilities) in order to receive services?

No, there is no requirement that the grandchildren have a disability. Under the NFCSP, states may design services for grandparents or older individuals who are relative caregivers. In these instances, the grandparent or relative caregiver must be an older individual (60+), who lives with the child, is the primary caregiver of the child, and has a legal relationship to the child or is raising the child informally. The child must be no more than 18 years old.

As a state determines how to target its services under the caregiver program, it shall give priority to older individuals in greatest social and economic need and older individuals caring for persons with mental retardation and developmental disabilities.

6. Does the child with MR/DD have to be under the chronological age of 19?

Yes, the statute does not provide any distinctions other than the child must be no more than 18 years of age.

7. Are States required to reserve 10% of the funding for services to grandparents?

No. States have the flexibility to determine the expenditures up to a maximum of 10%, to provide support services to grandparents and older individuals who are relative caregivers of children age 18 and under. States may design intrastate funding formula allocations that vary the proportion of funding among area agencies. It is conceivable that such a formula could be designed that would allocate the majority of funding to certain area agencies within the state.

8. Can States reserve funds to conduct a caregiver demonstration in one geographic area of the state?

No. Funds under Title III-E must be allocated via an intrastate funding formula to area agencies on aging.

9. Can the needs of other caregivers be addressed through the National Family Caregiver Support Program?

The NFCSP was developed as an initial effort to meet the needs of a segment of the caregiver population. For FY 2001, it is funded at \$125 million and is designed to begin to address the needs of caregivers. As part of the program's original design, we identified options for expanding the population of caregivers to be covered. As the program matures, and outcomes are generated, and most importantly, as additional resources become available, we will consider expanding the program to other groups of persons requiring and providing care.

Interim Reporting Guidelines

Issued October 31, 2001

Dear State Agency on Aging Director:

The Office of Management and Budget has approved the Administration on Aging request for a stand-alone data collection instrument for the National Family Caregiver Support Program (NFCSP). The purpose of this letter is to provide instructions for your submission of the Fiscal Year (FY) 2002 NFCSP information to the Administration on Aging (AoA). The FY 2002 NFCSP data are due to AoA on January 31, 2003.

State agencies on aging are required to report expenditure data, units of service and number of people served for the five categories of service (information, assistance, counseling, support groups and training, respite and supplemental services) as a temporary separate stand-alone report. Reports may be based on partial year data and estimated for the remainder of the year. NFCSP data may be submitted on the attached form in hard copy or electronically via E-mail.

As you know AoA and a workgroup of aging network representatives are reviewing our data collection requirements including how to incorporate Title III-E reporting into the ongoing data collection system. States were asked to share with their regional office any data that was voluntarily collected for FY2001 when they submitted their FY 2001 program performance data. We suggest that you use the attached form for FY2001 as well. Information provided voluntarily for FY 2001 and data reported for FY 2002 provide a snapshot of services and resources used to implement the NFCSP. We look forward to the integration of the NFCSP data requirements into a streamlined data collection system.

Sincerely,

Carol Crecy

Director
Office of State and Community Programs

Frank Burns

Director
Planning and Evaluation

Reporting Requirement Attachment

- States are encouraged to use NAPIS definitions and units of service where appropriate;
- Multiple services can be reported in each category;
- Services to the *caregiver* are the *only* services to be reported; and
- Only Older Americans Act Title III- E funds should be reported under expenditures.

Examples of services that States could report in the five statutory service categories:

Information: Group services, including public education, provision of information at health fairs and other similar designations as determined by the state.

Outreach: Interventions for the purpose of identifying potential caregivers and encouraging their use of existing services and benefits.

Assistance: Individual one-on-one contact.

Information and Assistance: A service that provides current information on opportunities and services available; assesses the problems and capacities of the individuals; links the individuals to the opportunities and services available; to the maximum extent practicable, ensures that the individuals receive the services needed, and are aware of the opportunities available to the individuals by establishing adequate follow-up procedures.

Case management: Assistance either in the form of access or care coordination in circumstances where the older person or their caregivers are experiencing diminished functioning capacities, personal conditions or other characteristics which require the provision of services by formal service providers. Activities of case management include assessing needs, developing care plans, authorizing services, arranging services, coordinating the provision of services among providers, follow-up and reassessment, as required.

Individual Counseling/ Support Groups/Training:

Provision of advice, guidance, and instruction about options and methods for providing support to caregivers in an individual or group setting.

Respite: Temporary, substitute supports or living arrangements to provide a brief period of relief or rest for caregivers. It can be in the form of In-home respite, adult day care respite, or institutional respite for an overnight stay on an intermittent, occasional, or emergency basis.

Supplemental

Services: Other services to support the needs of caregivers, as defined by the state.

Submission of SPR Data

Option 1: Mailing NFCSP Form to the AoA Central Office

Send the Form, accompanied by a cover letter signed by the Director, State Unit on Aging, directly to the AoA Central Office at the following address:

U.S. Department of Health and Human Services
Administration on Aging
Office of Planning and Evaluation
330 Independence Avenue, S.W.,
Washington, D. C. 20201
Attn: NFCSP 2002

Option 2: Sending Files via Internet Mail

Send a message to: <http://www.william.ellis@aoa.gov> from the State Agency on Aging Director or a designee.

Attach the data files to the internet mail message. Specify that the message be sent certified, if possible. This will return a message that the mail has been received at AoA. In the body of the E-mail message, please identify:

- State and Fiscal Year of the data being sent; and
- Name, address, and phone number of the point of contact.

FINANCIAL STATUS REPORT

AOA SUPPLEMENTAL FORM TO SF-269 – TITLE III

The Administration on Aging plans to publish for comment in the *Federal Register* a revision to the Supplemental Form to the SF-269. This publication will be the first step in the process of obtaining OMB clearance for the collection of data about expenditures under Title III, Part E, the National Family Caregiver Support Program. The form that follows reflects the preliminary type of information that is necessary to collect on an interim basis in order to document the need for a comprehensive caregiver service delivery system.

The need to collect data about service expenditures and to begin to gather data about older individuals needing care and those persons who are providing care is well recognized. We are aware however, that without modification, many data collection systems are not equipped to provide information about caregivers. As a result, we have proposed to collect minimal data about older persons served consistent with your systems' current capacity. Concurrently, we will engage the aging network in discussions about any possible revisions to the National Aging Program Information System as a means of collecting data on a permanent basis. Further, we will explore options for gathering data about the characteristics of older individuals needing care and the caregivers who provide that care through other means such as sampling, surveys, research projects and our performance outcomes measures project.

The form that follows is provided for your information and in advance of its publication in the *Federal Register*. We look forward to working with you to reflect the needs of older individuals in need of care and their caregivers. This information will be essential to the ongoing support and expansion of the National Family Caregiver Support Program.

FINANCIAL STATUS REPORT
AOA SUPPLEMENTAL FORM TO SF-269-TITLE III

(*Note: Readers should refer to Title III-E sections)

STATE _____

FY _____

DATE SUBMITTED _____ REPORTING PERIOD ENDED _____

Item 10 i Column III, Total Recipient Share of Outlays which consist of outlays from:

	State	AAAs
Title III		
ADMIN	\$ _____	\$ _____
Part B	\$ _____	\$ _____
LTCO (Part B)	\$ _____	\$ _____
Part C-1	\$ _____	\$ _____
Part C-2	\$ _____	\$ _____
Part D	\$ _____	\$ _____
Part E	\$ _____	\$ _____
TOTAL	\$ _____	\$ _____

Item 10 j Column III, Federal Share of Net Outlays:

	State	AAAs
Title III		
ADMIN	\$ _____	\$ _____
Part B	\$ _____	\$ _____
LTCO (Part B)	\$ _____	\$ _____
Part C-1	\$ _____	\$ _____
Part C-2	\$ _____	\$ _____
Part D	\$ _____	\$ _____
Part E	\$ _____	\$ _____
TOTAL	\$ _____	\$ _____

Item 10 o Column III Total Federal Funds Authorized by AOA for the Federal FY _____ have been allocated by the State as follows (as applicable):

1. State administrative activities which consists of funds in the amount of \$_____ from the following:

- Part B \$ _____
- Part C-1 \$ _____
- Part C-2 \$ _____
- Part D \$ _____
- Part E \$ _____

- 2. Part B, Supportive Services \$ _____
- 3. Part B, Long Term Care Ombudsman \$ _____ FY=2000 \$ _____
- 4. Part C-1, Congregate Meals \$ _____
- 5. Part C-2, Home Delivered Meals \$ _____
- 6. Part D, Preventive Health \$ _____
- 7. Part E, Caregivers \$ _____
- Area Plan Administration \$ _____

which consists of funds from:

- Part B \$ _____
- Part C-1 \$ _____
- Part C-2 \$ _____
- Part E \$ _____

Item 10 p Column III, Unobligated Funds:

- Part B \$ _____
- Part C-1 \$ _____
- Part C-2 \$ _____
- Part D \$ _____
- Part E \$ _____

Item 10 r Column III, Disbursed Program Income using the additional alternative (cumulative amount):

- Part B \$ _____
- Part C-1 \$ _____
- Part C-2 \$ _____
- Part D \$ _____
- Part E \$ _____

PART E (STATEWIDE EXPENDITURES)

	EXPENDITURES	UNITS	PEOPLE SERVED
INFORMATION	\$ _____	_____	_____
ASSISTANCE	\$ _____	_____	_____
COUNSELING			
SUPPORT GROUPS			
TRAINING	\$ _____	_____	_____
RESPITE	\$ _____	_____	_____
SUPPLEMENTAL			
SERVICES	\$ _____	_____	_____
Total	\$ _____		